

May 2017

Trust in water

Information for applicants

**Principal, Enforcement
(2 years Fixed term contract)
Ref: 1650**

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Introduction from Cathryn Ross, Chief Executive



Water is not a dry issue.

The water sector in England and Wales has come a long way in the past 25 years. At privatisation, polluted beaches and rivers and neglected infrastructure meant we were seen as the ‘dirty man of Europe’.

The regulation of this sector was entrusted to the Water Services Regulation Authority (Ofwat) which has maintained a steady hand in driving and incentivising the sector to deliver and to improve. Over the period since privatisation, the water companies have invested more than £116 billion in maintaining and improving services for consumers and the environment. Today, for example, the amount of water lost through leaks is down by about a third since the mid-1990s. In addition, salmon have returned to the River Mersey, once considered one of the most polluted in Europe. All of this has been delivered efficiently too – a litre of tap water, supplied and taken away, costs less than half a penny.

But the world is changing. The water sector faces new problems and very different challenges. In the future, climate change may mean we get more droughts and more floods, making it harder to maintain resilient supplies. Our population is growing, putting more pressure on the water we use. Lifestyle changes have increased our appetite for water in our homes, our work places and our places of leisure. The changing social and economic landscape also means we need to reconsider how business operates and how customers are able to afford their water and sewerage bills.

Ofwat needs to be at forefront of determining and implementing a regulatory system that will protect customers’ interests, drive efficiencies and innovation, enable efficient companies to finance their functions and to ensure that the ‘promises of privatisation’ are delivered. We all need sustainable solutions to these problems.

To do this, Ofwat needs to be at the very top of its game. Our new Market Outcomes and Enforcement (MOE) programme will monitor and regulate all of the markets in the water sector, in particular the new business retail market opening in April 2017. The business retail market’s actual and perceived success will be viewed as a key test of the role that markets can play in the water sector, and Ofwat’s effectiveness as a regulator. How the business retail market performs is also likely to influence the work we are doing through our Water2020 programme on bio-resources and water

resources, and the Government's decision on whether to extend competition to the residential sector in England.

By working within the MOE programme you will be directly supporting our regulatory model – our move to pro-market regulation and ex-post interventions – and our vision for the sector.

Thank you for your interest in joining Ofwat at what is a very exciting time for us. We look forward to receiving your application.

Cathryn Ross
Ofwat Chief Executive

About Ofwat and the role

Ofwat (the Water Services Regulation Authority) is the economic regulator of the water and wastewater sector in England and Wales. Our role is to help it build trust and confidence with customers, the environment and wider society. Our strategic priorities include:

- delivering the reforms provided for in the Water Act 2014 and helping to ensure that they deliver real benefits for water customers and society. This includes putting in place the arrangements for the opening of the business retail market to competition in April this year. It also includes supporting the development of water trading and abstraction reform. Doing these things will require further changes to the way we set prices in our 2019 price review;
- maintaining the confidence of investors in the water sector and our regulation of it, though this period of change; and
- developing the means by which we monitor the sector's performance against our vision of trust and confidence, and receive assurance from the sector.

Our focus as a regulator is on regulating in a pro-market way which means establishing an effective framework that improves information (e.g. quality and visibility); improves buyers' and sellers' ability to transact (e.g. reducing 'transaction costs'); and/or by improving incentives on buyers and sellers to transact efficiently. In addition, we will look to make targeted interventions only, rather than taking a prescriptive, one-size-fits-all approach.

Market Outcomes and Enforcement (MOE) programme

Our vision for the water sector in England and Wales is one where customers and wider stakeholders have trust and confidence in vital public water and wastewater services. Our statutory duties include protecting customers, wherever appropriate through the promotion of competition. For the MOE Programme our focus will be on that duty and our ambition to regulate in a pro-market way.

The practical expression of that ambition will be the ways in which the MOE Programme enables markets and makes targeted interventions into those markets to protect customers, focusing on those areas of greatest benefit for or detriment to customers. Specifically, the work within the MOE Programme will encompass:

- Enabling active markets within the sector through the issuance of various types of licences that allow new entrants to compete with existing market participants.
- Monitoring those markets, particularly the business retail market, to determine whether:
 - companies are meeting their obligations under their licences and the various market codes;
 - companies can enter and exit efficiently and compete with each other on a level playing field;
 - the various codes governing the business retail market are fit for purpose; and
 - customers are able to benefit from the opportunities that competition brings.
- Taking action using our entire regulatory toolkit to support and correct markets that may not be working as they should.
- Using targeted communications to build awareness and confidence in the markets and support Ofwat's positioning move to be a regulator of markets, rather than monopolies.
- Coordinating across the Programme and Ofwat to ensure policy decisions and management of the business retail market are mindful of wider Ofwat policies, duties and developments in both the internal and external environment.
- Making decisions and determinations on issues and complaints that are in the best interests of customers, as well as managing the codes that govern the business retail market.
- Using intelligence, data and learning from the business retail market to inform any further work Ofwat may carry out (or be asked to carry out by Government) on domestic retail competition.

The business retail market takes Ofwat into new territory and will require a different type of regulation from what we are used to. The nature and pace of what we are regulating will be different and more unpredictable; likewise the regulatory and reputational risks we face will not be the same. Responding to challenging expectations of us is also likely to play a greater role in a market environment, not least due to experiences in other sectors such as energy. However, our regulatory model will continue to apply in this different environment. Our flexibility to choose the right tool from our broad regulatory toolkit will be critical to the speed and efficacy with which we can respond to some issues.

The MOE Programme also operates within a diverse stakeholder environment including regulated companies, new entrants to the sector, Government, other regulators, investors, environmental groups and of course customers and their representative bodies and groups. Effective stakeholder engagement is therefore central to the success of the programme.

Casework pool

The Casework pool of staff is one of the main resources from which the MOE Programme is able to meet its delivery objectives. People in our Casework Pool have experience of working within an enforcement environment and the ability to draw on this experience to lead the delivery of the MOE Programme including investigating and making decisions on our cases.

People in the Casework Pool work cross-functionally with other resource pools, flexibly identifying and drawing on the right expertise to contribute to the effective delivery of both formal cases and our other regulatory tools. Our casework people have the versatility to support the work on a range of projects, to both utilise the skills and experience already within the Pool, and to develop the pool members' broader knowledge base and skillset. All people within the Casework Pool are expected to be able to communicate and develop good relationships with a wide range of interested parties. They must also work effectively with colleagues across Ofwat to deliver the outcomes programmes must deliver and to ensure their work recognises and makes appropriate links to related work in other programmes.

Role expectations

The purpose of the Principal role within the Casework Pool is to provide expert management, support and leadership of the enforcement function within the MOE Programme. This will be provided by project managing our most important projects and strategic cases, both of which draw on specialisms from across the office. You will also be expected to sponsor and provide leadership on our smaller cases, including groups of similar or linked cases.

As leaders within the Casework resource pool, Principals are also expected to support, encourage and be role models for the junior members of the Pool. Principals must be able to apply their judgement to casework issues that arise and have a robust understanding of the strategic context in which they fit. Principals also play an important role in our engagement with external stakeholders, liaising with them to understand and influence their priorities and to build understanding and confidence about our work.

Principals will play a key role in the running the MOE Programme through resource planning and management, including the possibility of acting as a Resource Manager within the Casework Pool, and providing senior level support and guidance to our Case Management Office, which is often the first point of contact for customers raising concerns with Ofwat. There will also be opportunities for Principals

in the Casework Pool to work across Ofwat on other programmes and projects where their skills and experience would benefit those work streams.

Key deliverables

1. To **successfully deliver enforcement projects** within the MOE Programme including individual strategic cases and/or groups of our smaller cases. This will require:
 - a. Outstanding analytical and problem-solving skills together with an excellent level of drafting and presenting expertise that will allow you to clearly and concisely present evidence-based conclusions and recommendations to complex problems;
 - b. Case management experience such that you are able to successfully run large and complex investigations and/or a portfolio of smaller cases, that may span several years and involve inputs from both internal and external experts;
 - c. The ability to develop and deliver against case and project plans (both directly and through multi-disciplinary teams) so that we successfully deliver robust outcomes within our service level commitments for cases; and
 - d. The ability to self-start and independently manage your own workload as well as make day-to-day decisions on cases within the MOE Programme's decision-making framework.
2. To provide visible **leadership and guidance** to members of the Casework Pool to develop the skills and experience of the Pool's junior members and support the work of the Case Management Office. You will be a **role model** to advise and provide the benefit of your experience to junior staff on issues such as of case management best practice and stakeholder management. You will also help support the knowledge management work of the Case Management Office and how we continue to improve our ways of working.
3. To act as a **Resource Manager** within the Casework Pool and/or Project Manager within the MOE Programme, taking on budget management responsibilities and, where appropriate, people management responsibilities in line with Ofwat's Governance Framework.

4. To **engage with and influence key external stakeholders** such as water companies, representative bodies, Government departments, third parties and customers. You must be able to establish and maintain these relationships and operate independently of senior management where necessary.
5. To support the successful delivery of non-enforcement projects within the MOE Programme such as market monitoring and retail policy. You will also be expected to provide your skills and experience to **other projects and programmes** across Ofwat where they would actively benefit from your involvement.
6. To **contribute** to and reflect the organisation’s Horizon Scanning project and business planning processes (within and beyond the MOE Programme), to ensure that delivery remains appropriately prioritised, fit for purpose and in line with our vision for the sector and Ofwat.
7. Strongly contribute to Ofwat’s **wider leadership**, by engaging, contributing and supporting our work on the key issues and challenges facing Ofwat leading up to the opening of the business retail market in April, the next Price Review in 2019 and beyond, and role-modelling Ofwat’s values (SAILOR) and ways of working.

Professional requirements

A minimum of degree level or equivalent in an analytical/legal/economic discipline. A Postgraduate qualification in a relevant discipline would be desirable. Principals must also have extensive knowledge of utility regulation and current economic issues and a working knowledge of EU and UK competition law and policy. Knowledge of the UK water sector and/or of utility markets would also be desirable. More detail on the requirements is set out below:

		Critical:	Expected:
Qualifications	Principal	Degree level or equivalent in analytical/legal/economic discipline	Postgraduate qualification in relevant discipline
Experience	Principal	Proven track record of delivering successful outcomes on large and/or complex cases Analysing information to present evidence-based conclusions to complex problems	Experience in the UK water sector or another economic regulator Legal/Economic experience in a policy or

		Critical:	Expected:
		<p>Communicating complex information clearly in writing and verbally</p> <p>Ability to effectively plan, prioritise and manage large projects and a varied workload</p> <p>Leading multi-disciplinary teams to deliver successful outcomes</p> <p>Influencing and managing relationships with key external stakeholders</p> <p>Experience as a Resource and/or Project Manager with budget management and people management responsibilities</p> <p>Supporting the development and continuous improvement of an organisation and its people.</p>	<p>enforcement environment</p> <p>Experience in leading projects and programmes of work</p>
Knowledge	Principal	<p>Extensive knowledge of utility regulation and current economic issues</p> <p>Working knowledge of EU and UK competition law and policy</p>	<p>Knowledge of the water sector</p>

Terms and conditions of employment

Contract

This is a 2 year fixed term appointment.

Salary

The salary range for this role is Band 4 - £48,407 - £74,042. External candidates can expect to achieve a starting salary from the bottom of the band up to £60,000, depending on relevant skills and experience required for the post. Salary is paid monthly by credit transfer.

Internal and Civil Service candidates already at this job level would normally maintain their existing salary arrangements as this would be classed as a level transfer. If applying for the role as a promotion, these candidates can typically expect to be appointed on a salary at the bottom of the band or a 10% increase to existing salary, whichever is greater.

Location

The role will be based in either Birmingham or London. However, it is likely that travel between offices and throughout the UK will be needed to be effective.

Contracted place of work and taxable expenses

Any person who regularly works more than two days a month in both the Birmingham and London offices, irrespective of their contracted place of work, is considered by HMRC to have [two permanent workplaces](#). However it is unlikely that the PA will be required to be in Birmingham more than two days a month

The payment of your rail fare, accommodation or subsistence in this situation attracts tax and National Insurance because you are receiving a benefit.

Ofwat meets the cost of the tax and National Insurance by grossing up your expenses and recovering the net amount through your monthly pay package. But the expenses are classed as taxable earnings, which could impact on any attachment of earnings – for example, student loan repayments, high income child benefit and state benefits.

For further information on taxable expenses, please email payroll@ofwat.gsi.gov.uk.

Hours of work

The successful post holder will be required to work a minimum of 37 hours, excluding lunch breaks. You will be required to work such additional hours as is reasonable and necessary for the efficient performance of your duties.

Probation

There is a probationary period of six months for all new entrants. Subject to satisfactory performance, the post holder will be transferred to permanent establishment at the end of their probation.

Annual leave

On appointment the post holder will be entitled to 25 days annual leave plus 10½ days' public and privilege holidays a year. Annual leave entitlement will be increased by one day for each year of continuous employment with Ofwat, up to a maximum leave allowance of 30 days.

Pension

On appointment, you are eligible to join the Civil Service Pension. The Civil Service offers a choice of defined benefit and stakeholder pensions, giving you the flexibility to choose the pension that suits you best. We offer you a choice of two types of pension.

Alpha: alpha is an occupational pension scheme and provides a defined benefit worked out on a Career Average basis.

From 1 April 2017, employee contributions will be:

Actual pensionable salary (annual)	All members
Up to and including £21,422	4.60%
£21,423 to £51,005	5.45%
£51,006 to £150,000	7.35%
£150,001 and above	8.05%

From 1 April 2017, employer contributions will be:

Revised Salary Band (£)	ASLC rate from 1 April 2017
23,000 and under	20.0%
23,001 to 45,500	20.9%
45,501 to 76,000	22.1%
76,001 and over	24.5%

Partnership: this is a stakeholder pension with a contribution from Ofwat. How much we pay is based on your age. We pay this regardless of whether you choose to contribute anything. You do not have to contribute but, if you do, we will also match your contributions up to 3% of your pensionable earnings. The contributions are in addition to the age-related contribution mentioned above.

To learn more about the Civil Service Pension schemes, please follow the link <http://www.civilservicepensionscheme.org.uk/>

Ofwat benefits

We also offer a range of additional benefits. These include:

- access to our package of benefits via our ‘[Rewards on Tap](#)’ scheme. This is a voluntary benefits scheme where staff have access to exclusive discounts on a range of goods and services such as retail outlets, theatre tickets, holidays, insurance and gym membership;
- childcare voucher scheme;
- cycle-to-work scheme;
- season ticket loan for travel between home and office;
- flexible working arrangements;
- fees paid for membership of relevant professional bodies;
- regular professional development;
- health and wellbeing initiatives; and free eye tests and contribution towards lenses/spectacles for VDU users, if appropriate.

Further information

Security clearance

Any offer of appointment will be subject to satisfactory completion of security and pre-employment checks. Further information about the security checking procedure is available on request.

Nationality and immigration control

This post is open to nationals of states within the British Commonwealth and the European Economic Area (EEA) and certain members of their families. There must be no employment restriction or time limit on your permitted stay in the UK.

If you would like further information on Nationality and Immigration Control, please email us at people@ofwat.gsi.gov.uk.

Stocks or shares

Because of the nature of the information you will come into contact with and the need to be wholly independent of the water sector in England and Wales, you and your family (including your spouse or civil partner and any children or step-children under the age of 18 who still live at home, or any other member of your household) will be precluded from owning, purchasing or dealing in the shares of the water companies and their holding companies.

How to apply

Applications should include a:

- curriculum vitae (**CV**);
- **covering letter** or supporting statement that outlines the contribution you can make to Ofwat, including how you feel you meet our professional requirements and demonstrate behaviours outlined in our competency framework;

Please email your CV and supporting documents to recruitment@ofwat.gsi.gov.uk by the closing date.

If you are unable to make an electronic application, you may submit your application on paper. Please contact us to find out how.

Selection timetable

Closing date	5.00pm, Monday 5th June 2017
Sifting	W/c 5th June 2017
Interview date	Thursday 15th June 2017

If you have any queries about any aspect of this role or selection process, please email recruitment@ofwat.gsi.gov.uk.

Expenses

We will refund travelling costs at the rate of standard rail fare for the journey or motor mileage rates (cars: 25p per mile).

Please note that proof of purchase will be required for all public transport expenses.

We cannot refund expenses for travel into the UK. If you have to stay overnight, please contact recruitment@ofwat.gsi.gov.uk for further details.

Data protection

We will use your application only to inform the selection process, after which we will destroy it. If you are successful, it will form the basis of your personal record with us and we will store it in manual and electronic files.

We will hold any data about you in completely secure conditions, with restricted access. Information in statistical form on present and former employees is given to appropriate outside bodies.

We will include data that you provide on the diversity monitoring form in a general database for statistical monitoring purposes only, enabling us to monitor the effectiveness of our policy on equal opportunities in employment. Individuals will not be identified by name.

We shall consider that, by applying for this role, you are giving your consent to the processing of your data in the ways described above.

Diversity

Ofwat aims to be an equal opportunities employer. We intend to make sure that there is equality of opportunity and fair treatment for all irrespective of:

- age;
- disability;
- gender reassignment;
- marriage and civil partnership status;
- pregnancy and maternity;
- race, religion or belief; or
- sex or sexual orientation.

We would like to assure you that we will treat the information you provide on the diversity monitoring form in the strictest confidence and only use it to help us monitor appropriate equal opportunities policies. This information plays no part in our selection process.

Investors in People (IIP)

Ofwat has IIP accreditation which reflects good management practices throughout our organisation, including in business planning, individual objective setting, learning and development opportunities, as well as continuous constructive feedback through our delivery and development conversations approach to performance management.

Complaints procedure

The process of recruitment and assessment embraces the principles of fair and open competition and best practice. The first is to maintain the principle of selection for appointment to the Civil Service on merit on the basis of fair and open competition as outlined in the [Civil Service Recruitment Principles](#). The second is to promote an understanding of the [Civil Service Code](#) which sets out the constitutional framework in which all civil servants work and the values they are expected to uphold, and to hear and determine appeals made under it.

If feel your application has not been treated in accordance with the recruitment principles and you wish to make a complaint, you should contact Natasha Harris, Principal, Operations (People), Ofwat, Centre City Tower, 7 Hill Street, Birmingham, B5 4UA in the first instance. If you are not satisfied with the response you receive from us you can contact the Civil Service Commission